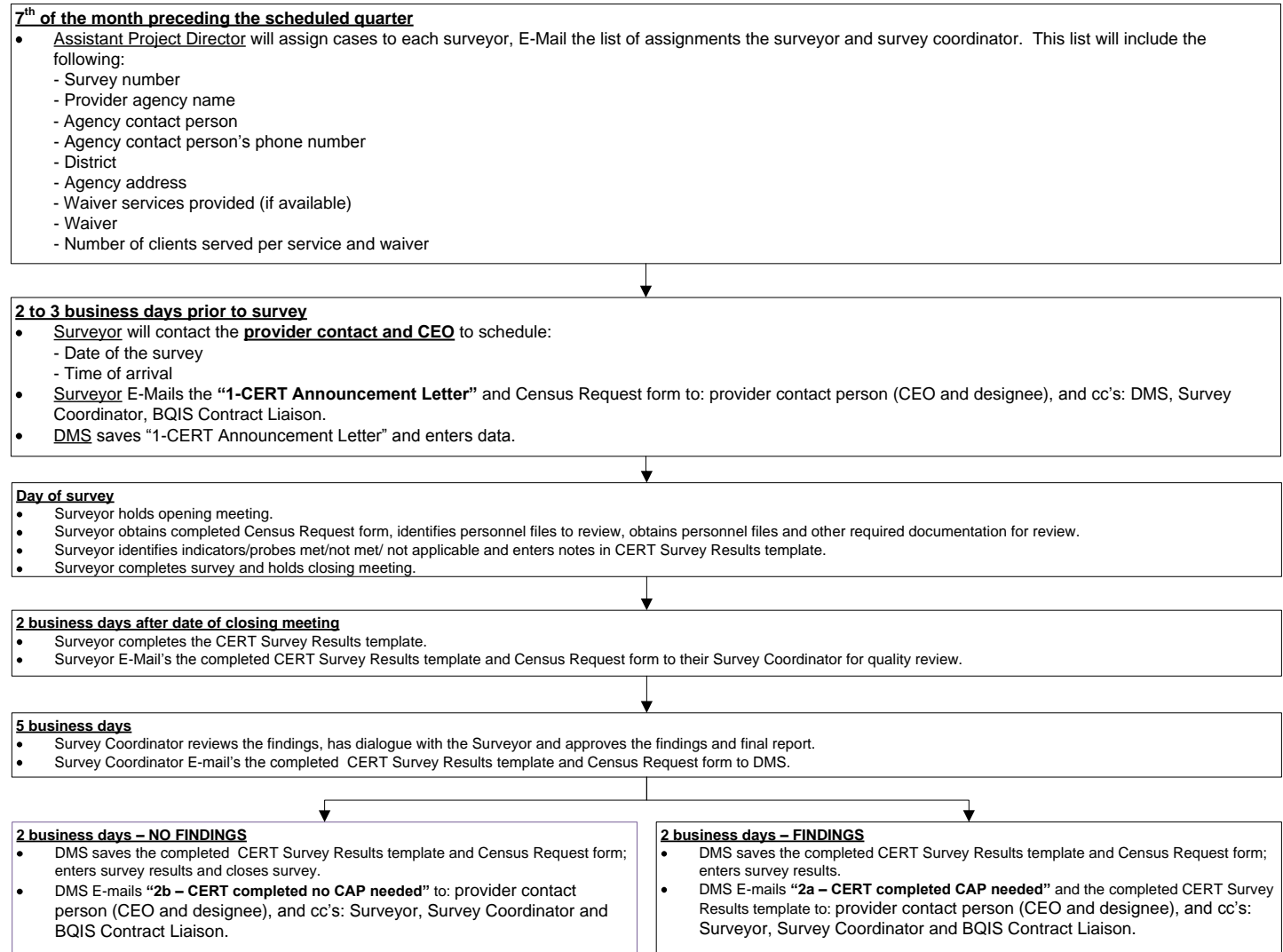


## Compliance Evaluation and Review Tool – process map

### Survey Scheduled and Conducted



## Corrective Action Plan

### IF THE SURVEY REQUIRES A CORRECTIVE ACTION PLAN

#### 10 business days

- The provider will use the CERT Survey Results template to enter the 1<sup>st</sup> CAP and submit by e-mail to BQIS at [BQISSURVEY@fssa.in.gov](mailto:BQISSURVEY@fssa.in.gov).

#### 1 business day (CAP 1 NOT RECEIVED)

- If CAP is not received within 10 business days DMS will send letter "6A – CERT – CAP(s) Not Received", the CERT Survey Results template notifying the provider that they have **3 business days** to complete their CAP or their case will be referred to the BQIS Contract Liaison, to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator and BQIS Contract Liaison.
- The provider will use the CERT Survey Results template to enter the CAP (CAP 1) and submit by e-mail to BQIS at [BQISSURVEY@fssa.in.gov](mailto:BQISSURVEY@fssa.in.gov) within 3 business days of receipt of the letter 6A.

#### 3 business days PROVIDER REFERRED TO BQIS

- If the CAP is not received within 3 business days DMS will send letter "6B – CERT – CAP(s) Not Received – Provider Referred to BQIS" to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator, BQIS Contract Liaison, Assistant Project Director and the Project Director.
- Upon approval from survey coordinator DMS will close the survey.
- Surveyor and Coordinator will refer to Provider Referral process.

#### 2 business days

- DMS saves the CERT Survey Results template received from the provider with the CAP entered, updates the Transmission section, and forwards the CERT Survey Results template to the surveyor.
- DMS completes the necessary data entry tasks.

#### 2 business days

- Surveyor will review the CAP against the specifications established to deem a CAP acceptable or not acceptable. If a CAP is not accepted surveyor will indicate the reason why.
- Once the Surveyor has completed their review they will forward the CERT Survey Results template to the Survey Coordinator for quality review.

#### 5 business days

- Survey Coordinator reviews the CAP, has dialogue with the Surveyor and approves the CAP.
- Survey Coordinator e-mails the CERT Survey Results template to DMS for processing.

#### 1 business day

- DMS processes survey and e-mail letter "4A-CERT CAP Accepted – Follow-up Verification" or "3-CERT CAP Denied Resubmit" and the CERT Survey Results template indicating the results of the CAP review to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator and BQIS Contract Liaison.
- If the CAP 1 is accepted then surveyor will proceed to the Follow-up Verification process which will occur in approximately 20 business days from the date in which the provider was notified that the CAP was accepted.

### IF THE CAP 1 IS DENIED

#### 5 business days

- The provider will use the CERT Survey Results template to enter their 2<sup>nd</sup> CAP and submit by e-mail to BQIS at [BQISSURVEY@fssa.in.gov](mailto:BQISSURVEY@fssa.in.gov).

#### 1 business day

- If 2<sup>nd</sup> CAP is not received within 5 business days DMS will send letter "6C – CERT – 2<sup>nd</sup> CAP(s) Not Received" and the CERT Survey Results template notifying the provider that they have **3 business days** to complete their 2<sup>nd</sup> CAP or their case will be referred to the BQIS Contract Liaison, to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator and BQIS Contract Liaison.
- The provider will use the CERT Survey Results template to enter the CAP (CAP 1) and submit by e-mail to BQIS at [BQISSURVEY@fssa.in.gov](mailto:BQISSURVEY@fssa.in.gov) within 3 business days of receipt of the letter 6C.

#### 3 business day PROVIDER REFERRED TO BQIS

- If the CAP is not received within 3 business days DMS will send letter "6D – CERT – 2<sup>nd</sup> CAP(s) Not Received – Provider Referred to BQIS" to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator, BQIS Contract Liaison, Assistant Project Director and the Project Director.
- Upon approval from survey coordinator DMS will close the survey.
- Surveyor and Coordinator will refer to Provider Referral process.

#### 2 business days

- DMS saves the CERT Survey Results template received from the provider with the 2<sup>nd</sup> CAP entered, updates the Transmission section, and forwards the CERT Survey Results template to the surveyor.
- DMS completes the necessary data entry tasks.

#### 2 business days

- Surveyor will review the 2<sup>nd</sup> CAP against the specifications established to deem a CAP acceptable or not acceptable. If a CAP is not accepted surveyor will indicate the reason why.
- Once the Surveyor has completed their review they will forward the CERT Survey Results template to the Survey Coordinator for quality review.

#### 5 business days

- Survey Coordinator reviews the 2<sup>nd</sup> CAP, has dialogue with the Surveyor and approves the CAP.
- Survey Coordinator e-mails the CERT Survey Results template to DMS for processing.

#### 1 business day

- DMS processes survey and e-mail letter "4B-CERT 2<sup>nd</sup> CAP Accepted – Follow-up Verification" or "5-CERT 2<sup>nd</sup> CAP Denied – Provider Referred to BQIS" (**PROVIDER REFERRED TO BQIS**) and the CERT Survey Results template indicating the results of the CAP review to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator and BQIS Contract Liaison.
- If the 2<sup>nd</sup> CAP is accepted then surveyor will proceed to the Follow-up Verification process which will occur within approximately 20 business days from the date of the acceptance letter.
- If the 2<sup>nd</sup> CAP in its' entirety is denied, upon approval from the survey coordinator DMS will close the survey and the Surveyor and Coordinator will refer to the Provider Referral process.

## Follow-up Verification of CAP Implementation

### 20 business days (approximately) following the date of CAP acceptance

- Surveyor conducts Follow-up Verification. This may be on-site and/or a desk review of documentation submitted by the provider.
- If there were personnel record findings discovered during the survey, additional personnel records will be evaluated to determine if the providers corrective actions were pervasive.



### 2 business days

- Surveyor completes the follow-up verification sections of the CERT Survey Results template and forwards to the Survey Coordinator for quality review.



### 5 business days

- Survey Coordinator reviews the results of the follow-up verification, has dialogue with the Surveyor and approves the report.
- Survey Coordinator e-mails the CERT Survey Results template to DMS for processing.



### 1 business day

- DMS processes survey and e-mail letter “8A-CERT Verification – Corrective Action Plan Implemented” or “8B-CERT CAP not Implemented referred to BQIS” (**PROVIDER REFERRED TO BQIS**) and the CERT Survey Results template indicating the results of the CAP Implementation review to: provider contact person (CEO and designee), and cc’s: Surveyor, Survey Coordinator and BQIS Contract Liaison.
- If the follow-up proved the CAP to not be implemented, upon approval from the survey coordinator DMS will close the survey and the Surveyor and Coordinator will refer to the Provider Referral process.